

Substitute Form PTO-1449 (Modified)	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 12406-006003	Application No. 10/616,783
Information Disclosure Statement by Applicant (Use several sheets if necessary) <i>DC 27 2004</i> (37 CFR §1.98(b))		Applicant Hohn et al.	
		Filing Date July 10, 2003	Group Art Unit 2826

U.S. Patent Documents							
Examiner Initial	Desig. ID	Patent Number	Issue Date	Patentee	Class	Subclass	Filing Date If Appropriate
MLT	AA	3,312,851	04/1967	Flowers et al.	—	—	—
	AB	3,316,109	04/1967	Rimbach			
	AC	3,440,471	04/1969	Baczewski et al.			
	AD	3,453,604	Jul 1, 1969	Geusic et al			
	AE	3,483,416	12/1969	G.A.W. Vermeulen			
	AF	3,510,732	May 5, 1970	Robert L. Amans			
	AG	3,529,200	Sept 15, 1970	Ralph M. Potter			
	AH	3,565,815	02/1971	Christy			
	AI	3,573,568	Jun 18, 1969	Harvey V. Siegel			
	AJ	3,593,055	July 13, 1971	Geusic			
	AK	3,621,340	11/1971	Shobha Singh			
	AL	3,654,463	Apr 4, 1972	Geusic et al			
	AM	3,659,136	04/1972	William Grodkiewicz			
	AN	3,691,482	Sept 12, 1972	Pinnow et al			
	AO	3,699,478	Oct 12, 1972	Pinnow et al			
	AP	3,700,479	10/1972	Arents			
	AQ	3,715,611	02/1973	De Mesquita et al.			
	AR	3,740,616	06/1973	Suzuki et al.			
	AS	3,742,277	06/1973	Peters			
	AT	3,743,833	07/1973	Mantic et al.			
	AU	3,819,974	Jun 25, 1974	Stevenson et al			
	AV	3,822,215	07/1974	W.H. Grodkiewicz			
	AW	3,875,456	04/1975	Kano et al.			
	AX	3,932,881	Jan 13, 1976	Mita			
	AY	3,942,185	Mar 2, 1976	J. Lebailly			
	AZ	4,093,890	06/1978	Verriet et al.			
MLT	AAA	4,139,657	02/1979	Wantanabe	—	—	—

Examiner Signature <i>Minhloan Tran</i>	Date Considered <i>2/05</i>
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MLT	BA	4,146,790	Mar 27, 1979	Goetzberger et al	—	—	—
	BB	4,173,495	Nov 6, 1979	Rapp et al	—	—	—
	BC	4,178,274	12/11/1979	Denk et al.	—	—	—
	BD	4,262,206	Apr 14, 1981	Viehmann	—	—	—
	BE	4,298,820	Nov 3 1981	Bongers et al	—	—	—
	BF	4,365,052	12/21/1982	Reeh et al.	—	—	—
	BG	4,431,941	Feb 14, 1984	Roy et al	—	—	—
	BH	4,479,886	10/1984	Kasenga	252	301.4	—
	BI	4,495,514	Jan 22, 1985	Lawrence et al	—	—	—
	BJ	4,550,256	Oct 29, 1985	Berkstresser et al	—	—	—
	BK	4,599,537	Jul 8, 1986	Yamashita	—	—	—
	BL	4,684,592	08/1987	Matsuda et al.	—	—	—
	BM	4,707,635	11/1987	Tateyama et al.	—	—	—
	BN	4,710,674	12/1987	Sigai	—	—	—
	BO	4,716,337	Dec 29, 1987	Huiskes et al	—	—	—
	BP	4,727,283	Feb 23, 1988	Van Kemenade et al	—	—	—
	BQ	4,734,619	Mar 29, 1988	K. Havel	—	—	—
	BR	4,816,369	03/1989	Matsuda et al.	—	—	—
	BS	4,818,434	04/1989	Lindmayer	—	—	—
	BT	4,818,983	Apr 4, 1989	Hara et al	—	—	—
	BU	4,825,124	04/1989	Sigai	—	—	—
	BV	4,894,583	01/1990	Berkstresser et al.	—	—	—
	BW	5,003,181	03/1991	Morlotti et al.	—	—	—
	BX	5,019,746	May 28, 1991	Merg	—	—	—
	BY	5,035,513	Jul 30, 1991	Fehrenbach et al	—	—	—
	BZ	5,120,214	June 30, 1992	Tokarlin	—	—	—
MLT	BAA	5,184,114	Feb 2, 1993	Brown	—	—	—

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Examiner Initial	Desig. ID	Patent Number	Issue Date	Patentee	Class	Subclass	Filing Date If Appropriate
MLT	CA	5,196,763	03/1993	Yang et al.	—	—	—
	CB	5,208,462	05/1993	O'Conner et al.			
	CC	5,256,725	10/1993	Takada et al.			
	CD	5,369,289	Nov 29, 1994	Tamaki et al			
	CE	5,417,886	05/1995	Tateiwa et al.			
	CF	5,471,113	Nov 28, 1995	DeBacker et al			
	CG	5,535,230	July 9, 1996	Abe			
	CH	5,578,839	11/1996	Nakamura et al.			
	CI	5,600,202	02/1997	Yarnada et al.			
	CJ	5,602,418	Feb 11, 1997	Imai et al			
	CK	5,607,621	03/1997	Ishihara et al.			
	CL	5,624,602	04/1997	Lenox et al.			
	CM	5,635,110	06/1997	Chandha et al.			
	CN	5,643,674	07/1997	Bruno et al.			
	CO	5,652,438	Jul 29, 1997	Sassa et al			
	CP	5,656,832	Aug 12, 1997	Ohba et al			
	CQ	5,665,793	09/1997	Anders			
	CR	5,670,798	Sept 23, 1997	J. Schetzina			
	CS	5,707,549	01/1998	Matsukiyo et al.	252	301.4	
	CT	5,744,233	04/28/1998	Opitz et al.	428	328	
	CU	5,747,832	05/1998	Nakamura et al.			
	CV	5,772,916	06/1998	Jamil et al.			
	CW	5,788,881	08/1998	Chadha et al.			
	CX	5,813,752	09/1998	Singer et al.			
	CY	5,813,753	09/1998	Vriens et al.			
	CZ	5,906,771	05/1999	Watkins et al.			
MLT	CAA	5,952,036	09/1999	Tadaki et al.	—	—	—

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MLT	DA	5,959,316	Sept 28, 1999	Lowery	—	—	—
	DB	5,994,722	11/1999	Averback et al.	—	—	—
	DC	5,998,925	Dec 7, 1999	Shimizu et al.	—	—	—
	DD	6,066,861	05/2000	Hohn et al.	252	301.36	—
	DE	6,078,063	Jun 20, 2000	Nakamura et al	—	—	—
	DF	6,245,259	06/2001	Hohn et al.	252	301.36	—
	DG	6,277,301	08/2001	Hohn et al.	252	301.36	—
	DH	6,600,175	07/29/2003	Baretz et al.	257	100	—
	DI	6,613,247	09/02/2003	Hohn et al.	252	301.36	—
	DJ	2004/0016938	01/29/2004	Baretz et al.	257	100	—
MLT	DK						

Foreign Patent Documents or Published Foreign Patent Applications							
Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
MLT	DL	0 039 017	11/1981	EP	—	—	X
	DM	0333162	09/20/1989	EPO	—	—	
	DN	0486052A1	05/1992	EP	—	—	
	DO	0936682	08/18/1999	EP	—	—	
	DP	2004989	12/05/1969	France	—	—	Abstract Only
	DQ	2043403	02/12/1971	France	—	—	
	DR	2044727	02/26/1971	France	—	—	Abstract Only
	DS	2073134	09/24/1971	France	—	—	Abstract Only
	DT	196 38 667 A1	04/02/1998	Germany	—	—	
	DU	2018353C	10/29/1970	Germany	—	—	Abstract Only
	DV	2,018354C	10/22/1970	Germany	—	—	Abstract Only
MLT	DW	2059909	06/24/1971	Germany	—	—	Abstract Only

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Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
MLT	EA	2347289		Germany			
	EB	26 42 465	03/1978	Germany			X
	EC	DE2835184C2		Germany			
	ED	3315675 A1		Germany			
	EE	3804293 A1	08/1989	Germany			
	EF	44 32 035 A1	03/14/1996	Germany			
	EG	G9013615.2	01/1991	Germany			
	EH	1263185	02/09/1972	Great Britain			
	EI	1317731	05/23/1973	Great Britain			
	EJ	1317732	05/23/1973	Great Britain			
	EK	1,332,462	10/1973	Great Britain			
	EL	1,589,964	05/1981	Great Britain			
	EM	2000173	01/04/1979	Great Britain			
	EN	GB2,053,953	02/1981	Great Britain			
	EO	2149416	06/12/1985	Great Britain			
	EP	00799345	04/11/1995	Japan			English Abstract cited in '903 patent
	EQ	00864860	03/08/1996	Japan			Abstract Only
	ER	02011694	01/16/1990	Japan			Abstract Only
	ES	2080970	03/22/1990	Japan			Abstract Only
	ET	03220286	09/27/1991	Japan			Abstract Only
	EU	03287690	12/18/1991	Japan			Abstract Only
	EV	05315652	11/26/1993	Japan			Abstract Only
MLT	EW	05315653	11/26/1993	Japan			Abstract Only

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MLT	FA	05315624	12/17/1993	Japan			Abstract Only
	FB	05347432	12/27/1993	Japan			Abstract Only
	FC	6013075	01/21/1994	Japan			Abstract Only
	FD	6017130	01/25/1994	Japan			
	FE	06053554	02/25/1994	Japan			Abstract Only
	FF	06076754	03/18/1994	Japan			Abstract Only
	FG	06163988	06/10/1994	Japan			Abstract Only
	FH	06204570	07/22/1994	Japan			Abstract Only
	FI	06306356	11/01/1994	Japan			Abstract Only
	FJ	60090680	11/06/1986	Japan			
	FK	04137570	05/12/1992	Japan			Abstract Only
	FL	1-189695		Japan			
	FM	198585/1996	05/1997	Japan (translation only)			X
	FN	2-138361	05/28/1990	Japan			X
	FO	244339/1996	05/1997	Japan (translation only)			X
	FP	245381/1996	05/1997	Japan (translation only)			X
	FQ	JP 2-91980	03/1990	Japan	33	00	Yes
	FR	2,927,229	05/1999	Japan			X
	FS	359004/1996	05/1997	Japan (translation only)			X
	FT	4-63162	05/1992	Japan			
	FU	4-63163	05/1992	Japan			
	FV	5-152609	06/1993	Japan			X
	FW	5-63068	08/1993	Japan			
MLT	FX	6-208845	07/26/1994	Japan			Abstract Only

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MLT	GA	6-268257		Japan			
	GB	6-69546	03/11/1994	Japan	33	00	X
	GC	7-176794	07/14/1995	Japan			X
	GD	7-193281	07/28/1995	Japan			X
	GE	7-42152	07/21/1995	Japan			X
	GF	JP 7-99345	04/1995	Japan	33	00	Yes
	GG	8-7614	01/1996	Japan			X
	GH	8-92549	04/28/1998	Japan			X
	GI	9-73807	03/1997	Japan			X
	GJ	11-220174	08/10/1999	Japan	33	00	X
	GK	46-7462	12/1971	Japan			
	GL	47-17684	09/1972	Japan			
	GM	49-112577	10/1974	Japan			
	GN	49-1221	01/1974	Japan			
	GO	49-24355	03/04/1974	Japan			X
	GP	50-43913	04/1975	Japan			X
	GQ	50-74875	06/30/1975	Japan			X
	GR	52-40959		Japan			X
	GS	52-45181	10/1977	Japan			
	GT	54-41660	05/1979	Japan			
	GU	55-5533		Japan			
	GV	56-1224		Japan			
	GW	59-50455	04/1984	Japan			
	GX	60-185457		Japan			
	GY	62-232827		Japan			
	GZ	63-280467	11/1988	Japan			X
MLT	GAA	64-071053	03/16/1989	Japan			X

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MLT	HA	WO 98/12757	03/1998	WIPO	—	—	
MLT	HB	W98/05078	05/02/1998	WIPO	H01L	33/00	Abstract Only
	HC						

Other Documents (include Author, Title, Date, and Place of Publication)

Examiner Initial	Desig. ID	Document
MLT	HD	Robbins et al., "Single Crystal Y ₃ Al ₅ O ₁₂ : Tb Phosphor Produced by Ion Implantation", Journal of the Electrochemical Society, Vol. 129, No. 4, pp. 816-820
	HE	Poort et al., "Optical properties of Eu ²⁺ -activated orthosilicates and orthophosphates" Journal of Alloys and Compounds, Vol. 260, No. 1-2, pp. 93-97 (September 12, 1997)
	HF	Demand for Trial dated 3/3/00 re JP2927279
	HG	Written Reply dated 6/20/00 re JP2927279
	HH	Material Chemistry and Physics, Vol. 16 (1987), pp. 283-299
	HI	Applied Physics Letter, Vol 11, No. 2 (1967), pp. 53-55
	HJ	Siemens Components 29.7/8 1991, pp. 147-149
	HK	Drafts of the Society for the Study of Fluorescent Materials, pp. 5-14
	HL	Decision on Trial 11520/90 concerning JPS-152609
	HM	Applied Physics Letters, "Candela-class high-brightness InGaN/AlGaN double-heterostructure blue-light-emitting diodes", March 28, 1994, 64 (13), pp.1687-1689
	HN	J. Applied Physics, "Large-band gap SiC, III-V nitride, and II-VI Zn-Se-based semiconductor device technologies", August 1, 1994, 76 (3), pp.1363-1398
	HO	J. Vac. Sci. Technol., InGaN/AlGaN blue-light emitting diode", May/June 1995, A13 (3), pp. 705-710
	HP	Journal of IES (Illuminating Engineering Soc.), "Improved color rendition in high pressure mercury vapor lamps", January 1977, pp. 89-91
	HQ	Physical Review, "Frequency Upconversion in YF ₃ :Yb ³⁺ , Tm ³⁺ ", April 15, 1971, B3 (8), pp. 2698-2705
	HR	J. Applied Physics, "Efficiency of Red, Green, and Blue Infrared-to-Visible Conversion Sources", April 1971, pp. 1958-1960
	HS	Osinski, Marek, AlGaN/InGaN/GaN blue light emitting diode degradation under pulsed current stress, Applied Physics Letter, August 12, 1996, pp. 898-900
	HT	Thomas Justel et al.: "Neue entwicklungen auf dem gebiet lumineszierender Materialien fur Beleuchtung-und displayanwendungen": [new developments in the field of luminescent material for lighting and display applications], Angew. chem., 1998, 110, pp.3251-3271
MLT	HU	D.J. Robbins: "The Effects of Crystal Field and Temperature on the Photoluminescence Excitation of Ce ³⁺ in YAG", J. Electrchem. Soc.: Solid State Science and Technology 1979, Vol. 126, No. 9, pp. 1550-1555

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MLT	IA	Glen A. Slack et al.: "Optical Absorption of $Y_3Al_5O_{12}$ from 10- to 55000-cm Wave Numbers", Physical Review, vol. 177, No.3, January 15, 1969, pp. 1308-1314					
	IB	Shuji Nakamura et al.: "The blue laser diode: GaN based Light emitters and lasers", Springer Verlag, Berlin, 1997, pp. 216-219, 328					
	IC	G.. Blasse et al.,: "A New Phosphor for Flying -Spot Cathode-Ray Tubes for Color Television: Yellow Emitting $Y^3Al_5O^{12}-Ce_3+$ ", Applied Physics Letter, Vol. 11, No. 2, 15, pp. 53, 54					
	ID	White LED Lamp by Nichia, copy of a Japanese Newspaper, dated September 1996					
	IE	B.M.J. Smets: "Phosphors Based On Rare-Earths, A New Era in Fluorescent Lighting", Materials Chemistry and Physics, 16 (1987), pp.283-299					
	IF	Frank Mollmer et al.: "Siemens SMT-TOPLED fur die Oberflachenmontage", [Siemens SMT-TOPLED for surface mounting]. Siemens Components 29, 1991, No. 4, pp. 147-149					
	IG	Cheo et al.: "White Light Emitting glasses", Journal Solid State Chemistry, 1991, pp. 17-29					
	IH	Sato et al.: "Full-Color.....Diode", Jap. J. Applied Physics, Vol. 35, (1996), pp. L838-L839					
	II	Siemens Forsch. – Entwickchl. – Ber. Bd (1997), No. 3, p. 162 [Siemens Research and Development Reports], Vol. 6					
	IJ	S.N. Mohammad et al.: "emerging gallium Nitride Based Devices", Proceeding of the IEEE, Vol. 83, No. 10, October 1995, pp. 1306-1355					
	IK	Translation of Proceedings of 264 th Institute of Phosphor Society, "Development and Application of High Bright White LED Lamps", Nov. 29, 1996, pg's. 5-14.					
	IL	Product Information - Philips Lighting, Fluorescent Powder, 1990					
	IM	Shimizu, Yoshinori et al., Phosphor Handbook, Phosphor Research Society, 1999, pgs. 317-330, 495-508.					
	IN	Translation of the newspaper "Nikkei Sangyo Shinbun", issued on September 13, 1996, <u>White-LED Lamp Efficient Light Emission Half a Production Cost</u> , Nichia Chemical					
	IO	"Phosphor Handbook", Ohm 1987, S. 166-175, 268-276.					
	IP	DIN 66141, February 1974					
	IQ	Phosphor Handbook, English Translation					
	IR	"Phosphor Handbook", Ohm 1987, pp. 275-276, 383.					
	IS	Proceedings of 264 th Institute of Phosphor Society, "Development and Application of High Bright White LED Lamps", Nov. 29, 1996, pp. 5-14					
	IT	Hakkoutai Dougaku-Kai (ed.), "Keikoutai Handbook" (Handbook on Fluorescent Materials), 1 st edition, published Decembe 25, 1987, pp. 275-277.					
	IU	Nikkei Sangyou Shimbun (Nikkei Industrial Newspaper), September 13, 1996, first sheet, "White LED lamps"					
	IV	Phosphor and Emitter (1997)					
	IW	Nichia Optoelectronic Product Guide, Nichia Chemical Industries, Ltd. 10/96					
MLT	IX	Mitsubishi Denki Giho, vol. 48, Sept. 1974, pp. 1121-1124					

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MLT	JA	Nikkei Electronics, September 23, 1996, no. 671					
	JB	English translation of Nikkei electronics, September 23, 1996, no. 671, "Nichia Chemical starts the sample shipment of white Light Emitting Diode".					
	JC	Nikkei Electronics, February 28, 1994					
	JD	Schlotter, P. et al., "Luminescence conversion of blue light emitting diodes", <i>Applied Physics A</i> , vol. 62, February 27, 1997, pp. 417-418					
	JE	Letter No. 6, of May 30, 2000, Sect. IV, subsections II and III					
	JF	English translation of Letter No. 6, of May 30, 2000, Sect. IV, subsections II and III					
	JG	Material Safety Data Sheet, pp. 1 and 2, and Lamp Phosphor Data Sheet of Phosphor NP-204 of Nichia Corporation					
	JH	"Phosphor Handbook", Ohm, 1987, pp. 172-174, 188-189, 270, 275-276, 383-385					
	JI	Translation of June 5, 2001 Office Action in Japanese Patent Application 10-514190					
	JJ	Preliminary Decision on Demand for Trial of JP 2,927,279					
	JK	English Translation of Japanese 01175103 A, July 11, 1989.					
	JL	English Translation of Japanese 01260707 A, October 18, 1989.					
	JM	English Translation of Japanese Patent Application No. 245381, Filed September 18, 1996, Nichia Chemical Industries Ltd.					
	JN	English Translation of Japanese Patent Application No. 359004, Filed December 27, 1996, Nichia Chemical Industries Ltd.					
	JO	English Translation of Japanese Patent Application No. 198585, Filed July 29, 1996, Nichia Chemical Industries Ltd.					
	JP	English Translation of Japanese Patent Application No. 018010, Filed March 31, 1997, Nichia Chemical Industries Ltd.					
	JQ	English abstract of Japanese Laid-open Patent 10-179471, July 17, 1989					
	JR	English abstract of Japanese Laid-open 07-099345, April 11, 1995					
	JS	Translation of Japan 52-40959 (previously submitted)					
	JT	Translation of Japanese Laid-open Patent 05-152609, June 18, 1993					
	JU	Translation of Japanese Laid-open Patent 07-176794, July 14, 1995					
	JV	Translation of Japanese Laid-open Patent 08-7614, January 12, 1996					
	JW	Translation of Japanese Laid-open Patent 50-43913, April 21, 1975					
	JX	Translation of Japanese Patent No. 2927279					
MLT	JY	Japanese Internet Literature, "Preparing Nearly-Spherical Aluminate Phosphors of Uniform Size".					

Examiner Signature Minhloan Tran	Date Considered 2/05
EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

Substitute Form PTO-1449 (Modified)	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 12406-006003	Application No. 10/616,783
Information Disclosure Statement by Applicant (Use several sheets if necessary) (37 CFR §1.98(b))		Applicant Hohn et al.	
		Filing Date July 10, 2003	Group Art Unit 2826

Foreign Patent Documents or Published Foreign Patent Applications							
Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
MLT	KA	Course of Lectures: Fundamental and Application of Color Image Engineering, No. 5, Television Gakkaishi (The Journal of the Institute of Television Engineers of Japan), Vol. 47, 1993, p. 753-764.					
	KB	R.W.G. Hunt, "Revised Colour-Appearance Model for Related and Unrelated Colours", Color Research and Application, Vol. 14, 1991 p. 146-165.					
	KC	Yoshinobu Nayatani, "Revision of the Chroma and Hue Scaled of a Nonlinear Color-Appearance Model", Color Research and Application, Vol. 20, 1995, p. 143-155.					
	KD	Mitsuo Ikeda et al. "Equivalent Lightness of Colored Objects at Illuminances from the Scotopic to the Photopic Level", Color Research and Application, Vol. 14, 1989, p. 198-206.					
	KE	Mitsuo Ikeda et al., "Equivalent Lightness of Colored Objects of Equal Munsell Chroma and of Equal Munsell Value at Various Illuminances", Color Research and Application, Vol. 16, 1991, p. 72-80.					
	KF	Hiroyuki Shinoda et al., "Categorized Color Space on CRT in the Aperture and the Surface Color Mode", Color Research and Application, Vol. 18, 1993, p. 326-333.					
	KG	Change of Color Conspicuity for Various Illuminance Levels Effects of the Purkinje shift, Shomei Gakkaishi (Journal of the Illuminating Engineering Institute of Japan, Vol. 17, 1987, p. 612-617.					
	KH	Japanese Journal of Applied Physics, Part 2, Vol. 31, No. 10B, 1992, p. L1457-L1459.					
	KI	Philips Journal of Research, Vol. 36, No. 1, 1981, p. 15-30.					
	KJ	Translation of JP 48-39866, 05/18/1973, Japan					
	KK	Translation of JP 6-0009, 08/19/1994, Japan					
	KL	Translation of JP 5-50611, 07/02/1993, Japan					
MLT	KM	Translation of JP 5-72553, 10/05/1993, Japan					
	KN						
	KO						
	KP						

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